

Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:	
2. Agency:	Department of State
3. Bureau:	CA/EX/CSD Consular Systems Division
4. Name of this Capital Asset:	Passport Modernization System
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	014-00-01-03-01-1206-00
6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)	Operations and Maintenance
7. What was the first budget year this investment was submitted to OMB?	FY2001 or earlier
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap: <p>The Passport Modernization System investment is comprised of seven major component systems which together encompass passport processing at the integrated 'systems' level. These component systems are: Travel Document Issuance System (TDIS), Passport Records Imaging Systems Management (PRISM), Passport Information Electronic Records System (PIERS), Passport Lookout Tracking System (PLOTS), Front End Processor (FEP), and Management In FY08, required technology refreshes at domestic agencies will transpire for 3 year cycle hardware replacements and for the 7-year life cycle replacement of the Toppan printers required to support EP. We will also work with the EP project personnel in planning and acquiring any necessary hardware and/or software to support their new technology needs in FY2008. Similarly, we will work with the project personnel in planning and acquiring any necessary hardware and/or software to support the four major new initiatives added to the Passport program in late FY05, (Western Hemisphere, Gateway City Agencies, Passport Travel Card, and the Book processing Personalization Center). The initiative will continue to support user requirements and technological advances; enhance the automated systems that support the agencies and increase data sharing capability; improve the work flow process; standardize and simplify site configurations and installations; improve network and data security; complete comprehensive COOP/Disaster recovery capability; begin centralization of the adjudication function; balance the workload between all systems; and make operations adjustments as necessary to these systems to support the new Electronic Passport with biometric capability. 2005 legislation requires citizens, by 2008, to use a passport for travel within the Western Hemisphere. To meet the demands of this legislation, new passport production facilities will be required and equipped with the hardware necessary to support and sustain operations. To facilitate the traveling public and provide effective customer support, passport-processing systems will be collocated with the DHS border offices. Passport and Visa operations are critical to maintaining the security of the United States. As such, the initiative is required to address the newly mandated Passport Initiatives that were added to the program in late FY2005 as well as continued operation and maintenance of current passport production agencies.</p>	
9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	8/4/2006
10. Did the Project Manager review this Exhibit?	Yes
12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	Yes
a. Will this investment include electronic assets (including	Yes

computers)?	
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
1. If "yes," is an ESPC or UESC being used to help fund this investment?	
2. If "yes," will this investment meet sustainable design principles?	
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Human Capital, Expanded E-Government
13a. Briefly describe how this asset directly supports the identified initiative(s)?	Passport Modernization ties to the PMA initiatives of Strategic Management of Human Capital and Expanded Electronic Government. In collaboration with industry and USG agencies technology has been leveraged providing citizens with secure travel documents and efficient application processes while bringing services closer to citizen's doors. The EP and WHTI have increased global access to information for citizens and DoS management, and yielded increased information share across USG.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part .)	Yes
a. If "yes," does this investment address a weakness found during the PART review?	No
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	
c. If "yes," what PART rating did it receive?	
15. Is this investment for information technology?	Yes
If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.	
For information technology investments only:	
16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):	(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMLA compliance area?	No
1. If "yes," which compliance area:	No
2. If "no," what does it address?	
b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update	

required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	5
Software	2
Services	93
Other	0
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	N/A
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2004	Strategic Goal 12: Management and Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/Information	Expand use of Remedy to field personnel to reduce help desk call initiation process by 15%and expedite problem resolution.	Remedy system currently utilized by Passport Help Desk to track 110 incoming help desk calls weekly from initiation to resolution.	Review Remedy Help Desk call logs for total number of calls initiated each week for FY2004. Look for weekly average call initiation to be 94.	CLOSE FY04 STATUS: Remedy implementation, which occurred in Q2, resulted in a 27% decrease in trouble calls to the help desk.

	Technology.				
2004	Strategic Goal 6: American Citizens - Assist American citizens to travel, conduct business, and live abroad securely.	To improve the mission performance of the passport agencies in the passport issuance process, reduce hours of downtime by 5% and no. of repairs by 5% annually for passport manufacturing equipment at 10 passport agencies by implementing, a 4-year cycle for hardware refresh/modernization.	3-year old passport manufacturing equipment at 10 passport agencies incurred 780 hours of downtime and 413 repairs.	Compare # of hrs downtime in last year of use of old equipment with downtime hrs in FY 02 after installation of new equipment at 6 agencies. Compare # of repairs in last year of use of old equipment with # of repairs in FY 04 after installation	Q2FY06 STATUS: 2005Q1, 2005Q2, 2006Q1, 2006Q2 data is currently being extracted from the help desk logs. Results will be updated in next month's EVM update.
2005	Strategic Goal 12: Management and Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/Information Technology.	Have 25% of Posts be able to access status information by the completion of FY05. Enhance security by adding biometrics capabilities.	Facilitate all agencies and overseas posts with the ability to check on the status of passport applications. 0% of the 280+ Posts currently have the ability to check status online. Existing systems ensure the ongoing viability of the enterprise by en	Measure number of Posts that have electronic access to Status information. Measure the number of Posts that have biometric capability.	FY06 Status: 100% of posts now have the capability thru the implementation of the Web Portal. The biometric goal has been delayed as the rollout of EP is now scheduled for FY07.
2005	Strategic Goal 12: Management and Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/Information Technology.	Passport booklet inventories will be 100% electronically tracked with zero unaccounted or lost books.	0% of blank passport books can be tracked electronically or controlled since there is no unique identifier for tracking location and disposition of the blank books -- they must be manually inventoried. 10 blank booklets were lost last year.	Through use of an embedded chip in passport book, book inventories will be scannable, each book having a unique identifier within the chip. This data will be maintained in a centralized database. # of books lost based on chip accounting TBD	FY Close Status: The EP rollout has been delayed to Q2FY06. This goal's results will be first be measurable and reportable in Q3FY06.
2005	Strategic Goal 2: Homeland Security - Secure our nation through the regulation of people and goods before they enter the U.S.	Through the inclusion of a biometric chip embedded in the passport booklet, forgeries will become very difficult and immediately detectable by port of entry processors when the data contained in the chip does not match the physical passport. 11 of the 16 processing agencies will have implemented biometric capabilities by the close of FY05.	5000 forged passports were detected in FY03. 0% of processing agencies can check for forgeries electronically. Detection of forgeries is currently a manual process that is dependent on the expertise at the POE and is rarely conducted	Measure number of processing agencies that have biometric capability. Look for a reduction of forgeries by 25%, or from 5000 to 3750.	FY Close Status: The EP rollout has been delayed to Q2FY06. This goal's objective is now covered under an FY06 Goal.
2006	Strategic Goal 12: Management and Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/Information Technology.	Reduce amount of hardware at the end of its life cycle to control maintenance costs.	OPERATIONAL SUPPORT: Hardware at agencies is at end of life-cycle and requires refresh.	Measure that HW at 4 PPT agencies will be refreshed (i.e., 25% of agencies will have refreshed HW).	GOAL ACHIEVE. 4 of 4 planned agency refreshes for FY06 completed: SIA, Connecticut, Washington, and Chicago.
2006	Strategic Goal 6: American	Improve service to citizen by	RECORDS MANAGEMENT:	Add NAS capacity for the PRISM	GOAL ACHIEVED for FY06.

	Citizens - Assist American citizens to travel, conduct business, and live abroad securely.	allowing them to check the status of their passport application electronically.	Citizens are requesting passports at an increased rate for travel needs and have no automated way to check the data archive related to their passport application.	system to store the projected number of new passport applications for 2 years and provide citizen access to the data archive for improved customer support.	Additional NAS was installed during Q1 at SA26 which will be sufficient for anticipated needs this year.
2006	Strategic Goal 12: Management and Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/Information Technology.	Enable all Ports of Entry capable of processing the high technology Electronic Passport to increase security and decrease individuals processing time through those Ports of Entry through the use of more modern technologies and infrastructures.	INTELLIGENT PASSPORT: Not all agencies and ports of entry can interface with the new Electronic Passports which provides increased national security.	Complete the test rollout of Electronic Passport with biometric capability to all domestic sites and measure that 100% of all sites should be able to interface with this passport technology. Q1LAX and Sydney tested EP.Q2 thru Q4 - Singapore and Ger	Q2FY06 Status: Goal on target. Q2 Goal Achieved. Singapore completed test of EP.
2006	Strategic Goal 12: Management and Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/Information Technology.	Increase data sharing with other authorities to improve the operational capabilities of their workforce.	TDIS & PIERS MODERNIZATION: Critical data on individuals who have applied for passports is not shared with all federal, state, and local agencies involved with maintaining U.S. security.	Modify Passport systems and interfaces to allow data sharing with 2 new Federal, State, or Local agencies. Q1 Begin work for GPO data share Q2 Continue GPO implementation Q3 Complete GPO and begin processwith DHS.	Q4FY06 Status: Goal on target. Data share with GPO established. Also, ahead of schedule on DHS and have begun the process scheduled to sta
2006	Strategic Goal 2: Homeland Security - Secure our nation through the regulation of people and goods before they enter the U.S.	Increase security to the nation by stopping more fraudulent and criminal entries into the U.S. through implementation of the Electronic Passport to automate part of the review of passport and traveler by point of entry staff.	Catching fraudulent or criminal entries into the country depends on manual review of passport and traveler by point of entry staff.	Count percentage of passport applications and passports rejected compared to similar time frame prior to Electronic Passport.	Q2FY06: Goal cannot be measured until the completion of the roll-out of EP to all agencies (planned to start Q4). Current EP rollouts are for testing purposes. Full system implementations is scheduled to be complete in FY07
2006	Strategic Goal 6: American Citizens - Assist American citizens to travel, conduct business, and live abroad securely.	1.Further automate application forms so when citizen fills them out they also print a bar code encoded with all the information so that data can be electronically read speeding up the process and reducing keypunch errors. 2.Add a biometric chip to the passport so citizens can be checked electronically when the enter to country after travel speeding the process and enhancing security.	1.Citizens supply written application for passport to processing centers and that information must be hand-keyed into systems; 2.During travel, when going through ports of entry, citizen passports are manually checked	Measure % reduction in time to process the application and % reduction in input errors. Measure the % reduction in review time of citizens at point of entry and measure the % increase in identification of fraudulent	Q2FY06: Goal cannot be measured until the completion of the roll-out of EP to all agencies (planned start Q4). Current EP rollouts are for testing purposes. Full implementation will be complete and measurable in 2007
2007	Strategic Goal 2: Homeland Security - Secure our nation through the regulation of people and goods before they enter the US	Increase security to the nation by stopping more fraudulent and criminal entries into the US through the implementation of the Western Hemisphere Travel Initiative with Canada and	Catching fraudulent or criminal entries into the country depends on manual review of identity document and traveler by border staff.	Count percentage of travelers rejected at the northern and southern borders compared to similar time prior to WHTI	

		Mexico and the corresponding Passport Card			
2007	Strategic Goal 12: Management & Organizational Excellence - Ensure a high quality workforce supported by modern and secure infrastructure and operational capacities/IT.	Increase data sharing with other authorities to improve the operational capabilities of their workforce	TDIS MODERNIZATION: Critical data on individuals who have applied for passports is not shared with all federal, state, and local agencies involved with maintaining U.S. security.	Modify Passport Systems to allow for WHTI relevant data sharing with other agencies	
2007	Strategic Goal 6: American Citizens - Assist American citizens to travel, conduct business, and live abroad securely	Facilitate secure travel between Canada and Mexico via the WHTI Passport Card	Currently, travel along the Northern & Southern borders is not secured by federal government issued travel documents	Measure the % reduction in review time to receive and citizen at the point of entry and measure the % increase in identification of fraudulents or criminals at point of entries	
2007	Strategic Goal 6: American Citizens - Assist American citizens to travel, conduct business, and live abroad securely.	Increase security to the nation by stopping more fraudulent and criminal entries into the U.S. through implementation of the Electronic Passport to automate part of the review of passport and traveler by point of entry staff.	Catching fraudulent or criminal entries into the country depends on manual review of passport and traveler by point of entry staff.	Count percentage of passport applications and passports rejected compared to similar time frame prior to Electronic Passport.	

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2005	Customer Results	Customer Benefit	Customer Satisfaction	% of Posts able to check passport status electronically.	0% of the 280+ Posts currently have the ability to check the status of an applicant's passport online.	Have 25% of Posts be able to access passport application status information by the completion of FY05 to enhance Customer Satisfaction through on-line access to status of their application.	Q4FY05 Status: Goal Exceeded: 100% of posts have ability to check status of an applicant's passport via the Intranet and also determine the location the application was last "touched" to request it be pulled for their use.
2005	Mission and Business Results	Homeland Security	Border and Transportation Security	# external agencies we share data with through Records Management.	Current list of agencies with data share agreements as of the close of FY 2004.	Add 2 external agencies with access to the data archive.	Q4FY05 Status: Goal Exceeded. Added data sharing with SSA and DHS ahead of schedule in Q3.
2005	Processes and Activities	Security and Privacy	Privacy	% of books capable of being tracked electronically.	% of blank passport books can be tracked electronically or controlled since there is no unique identifier for	Passport book inventories will be 100% electronically tracked via the embedded	Q4FY06Goal Delayed. EP is not fully implemented due to Congressionally

					tracking location and disposition of the blank books -- they must be manually inventoried and each year books are missing/lost/stolen.	chip allowing for full inventory accounting of missing books and the inability for these books to be used illegally (fraud) due to the unique ID	mandated delay to allow more time for other countries to acquire and implement the required technologies and due to delays caused by a protests
2005	Processes and Activities	Security and Privacy	Privacy	Count of Agencies implementing EP and % of Passport Forgeries.	5000 forgeries of passports were detected in FY03. 0% of processing agencies can check for forgeries electronically. Close scrutiny only occurs when cause is encountered.	Through the inclusion of a chip embedded in the passport book, forgeries will become difficult and immediately detectable at POE. Expect at 25% reduction in passport forged	Q4FY05 Status: Goal Delayed. EP is not fully implemented due to a Congressionally mandated delay to allow more time for other countries to acquire and implement the required technologies and due to delays caused by a protest
2005	Technology	Quality	Compliance and Deviations	Improved compliance with Enterprise Architecture and Standards	Systems are assessed quarterly at the In Progress Reviews (IPRs) for their compliance with architectures and standards, with corrective actions noted.	Continue to increase compliance towards with Enterprise Architecture and Standards per schedule.	Q4FY05: Goal Achieved. FY05 plan was to develop EA compliance related to risk management and COOP. In Q4 the formal Risk Management Plan was developed and submitted and the COOP facilities were established on schedule & will be ready FY06
2006	Customer Results	Service Accessibility	Access	Capability for online passport application access over the WWW.	0% of citizens have access to passport application status through the WWW.	Goal is to have 100% of citizens having access to online passport application access through the WWW.	Q1FY06 Status: Goal Exceeded. Through the implementation of the Web Portal, 100% of citizens can now access the status of their application online.
2006	Customer Results	Service Coverage	New Customers and Market Penetration	% of agency sites capable of reading the Electronic Passport	INTELLIGENT PASSPORT: Not all agencies and ports of entry can interface with the new Intelligent Passports which provides increased national security.	Complete rollout of Intelligent Passport with biometric capability to all 19 domestic sites. 100% of all sites should be able to interface with this passport technology. Q1 " LAX and Sydney implement EP.Q2 " Q4 " Remaining locations implemented.	Q3FY06 Status: Goal In Process: TDIS upgrades necessary for EP interface have been implemented at all agencies. TOPPAN printer upgrades are scheduled to begin in mid August. Printer conversions are being delayed by GPO passport production delays
2006	Mission and Business Results	Information and Technology Management	Information Management	# of agencies whose HW has been refreshed or replaced.	Hardware at 4 agencies will be at end of life-cycle and require refresh.	HW at 4 PPT agencies will be refreshed.Q1 " SIA and ConnecticutQ2 " Houston, N.O., NPCQ3 " WashingtonQ4 - Chicago	Q4FY06 Status: Goal Achieved. All scheduled HW refreshes have been completed
2006	Processes and Activities	Management and Innovation	Innovation and Improvement	Percentage of Agencies capable of reading a	By end of FY2005 the systems are expected to be ready to generate	100% of agencies can read the form, 100% of courier	Q1FY06 Status: Goal Achieved. 100% of

				2D Barcode Passport application form, Percentage of Courier services capable of generating the 2D form, Implementing the 2D form on the public's website.	the 2D form and some agencies will be able to read them.	services can generate the form, web portal for citizens is enabled with the new form.	agencies can read the 2D forms. Each agency has at least one station capable of reading the form. 100% of courier services can also produce the 2D form through the web portal.
2006	Technology	Efficiency	Improvement	# of external agencies added to data sharing program.	Current list of data share external agencies. 2005 Data Share list is: DHS, Census, FBI.	Modify Passport systems/interfaces to allow data sharing w/2 new Federal, State, or Local agencies annually. Q1 Begin work for GPO data share Q2 Continue GPO implementation Q3 Complete GPO & begin process to increase sharing with DHS through Q4	Q3FY06 Status: Goal In Process and on target. Work in process establishing data share with GPO. Awaiting MOU signing and final C&A. Began Q4 work early and discussions for DHS data share has begun.
2007	Customer Results	Customer Benefit	Customer Impact or Burden	% of Passport systems and facilities capable of handling a travel card.	INITIATIVES: Frequent travelers between the US, Canada, and Mexico must be processed the same as all other international travelers through a review of their passport.	Passport systems and facilities are enhanced to provide a travel card for those citizens traveling frequently between the US and Canada and Mexico.	Progress TBD at quarterly reviews.
2007	Customer Results	Customer Benefit	Customer Satisfaction	Customer can determine the status of their application online.	Customers must call or visit a passport service center to determine the status of their application.	Create a Book Processing Personalization Center so customers can determine the status of their passport application online. Q1 " RFP Issues Q2 " Awarded Q3 " Necessary connectivity infrastructure established Q4 " Limited facility activated.	Progress TBD at quarterly reviews.
2007	Mission and Business Results	Homeland Security	Border and Transportation Security	% of people stopped due to criminal or fraud issues related to their passport.	ELECTRONIC PASSPORT: FY2006 will be the first year that EP is fully implemented. Statistics for % of people stopped due to criminal or fraud issues determined by passport examination will be determined for FY2005 without EP, then in FY2006 with EP.	FY2007 % of people stopped due to criminal or fraud issues determined by passport examination is maintained at the FY2006 level or improved.	Progress TBD at quarterly reviews.
2007	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	# of agencies who received refreshed HW.	Hardware at 4 agencies will be at end of life-cycle and require refresh.	HW at 4 PPT agencies will be refreshed.	Progress TBD at quarterly reviews.
2007	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	1) # of passport systems with full COOP implemented 2) All systems modified to handle a central adjudication process.	DESIGN/DEVELOPMENT: 1. There is not a full and comprehensive COOP/Disaster recovery capability implemented for all Passport systems; 2. System design cannot handle centralization of the	1. All Passport systems have a full COOP/Disaster recovery capability implemented; 2. System enhancements have begun roll-out which centralize the	Q2FY06 Status: Goal Achieved. CDRS & BDRS COOP sites set to go live 12/05. RIP is designed and tested for centralized adjudication capability.

					adjudication function without modification.	adjudication function.	Release 2.2 of RIP scheduled for 08/06 will implement .NET architecture
2008	Customer Results	Customer Benefit	Customer Satisfaction	% increase in process time of citizens traveling between the Northern and Southern borders	Current, average process time for citizens at border crossing locations	% decrease in the process time for citizens at US land crossing borders compared to process time prior to Passport Card implementation	Progress TBD quarterly
2008	Mission and Business Results	Homeland Security	Border and Transportation Security	% of people stopped due to criminal or fraud issues related to their passport card.	FY08 will be the first full year of WHIT Passport Card deployment. % of people stopped at the Canadian and Mexican borders for fraudulent documentation before the implementation of the card will be compared to capture rates post card.	% increase in the number of persons stopped at the Northern and Southern border due to fraudulent documentation.	Progress TBD quarterly
2008	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	# of agencies whose HW has been refreshed or replaced	Currently 4 agencies are scheduled for HW refreshes in FY 08	Have all required agencies refreshed by Q4 FY 08	Progress TBD quarterly
2008	Processes and Activities	Productivity and Efficiency	Productivity	% increase in Passport adjudication efficiency	Develop and implement services for more automated, efficient passport adjudication	% increase in the rate at which passports are produced	Progress TBD quarterly
2008	Technology	Efficiency	Improvement	Increase data sharing with DHS for WHIT/Passport Card Initiative	Currently, DHS can not verify passport information in TDIS	Allow border security facilities ability to verify passport information in TDIS yielding a % increase in the processing time of citizens at the borders	Progress TBD quarterly

I.E. Security and Privacy

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:	Yes
a. If "yes," provide the "Percentage IT Security" for the budget year:	1

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.	Yes
5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?	No
a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process?	Yes
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?	No
a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.	

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
Passport Modernization System	No	Yes.	Yes.	Yes	No, because the existing Privacy Act system of records was not substantially revised in FY 06.

I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?	No
a. If "no," please explain why?	
This project is not identified by name in the Department of States, Consular Affairs (CA) Enterprise Architecture. The CA Enterprise Architecture outlines missions, policies, methodologies, and procedures but does not specifically address systems. The CA Enterprise Architecture Strategy document (March 7, 2003) does outline business scope for the CA Enterprise Architecture, of which visa and passport services are identified, which this program directly supports. Passport Modernization is included in the Department's IT Strategic Plan as an essential element supporting the goal of strengthening service to the citizen and strengthening border security.	
2. Is this investment included in the agency's EA Transition Strategy?	Yes
a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.	Passport Modernization
b. If "no," please explain why?	

3. Service Reference Model (SRM) Table:

Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
Back Office Services	Support the interchange of information between multiple systems or applications; includes verification that transmitted data was received unaltered	Back Office Services	Data Management	Data Exchange			No Reuse	20
Back Office Systems	Support a subset of a data warehouse for a single department or function within an organization	Back Office Services	Data Management	Data Mart			No Reuse	6
Back Office System	Support the restoration and stabilization of data sets to a consistent, desired state	Back Office Services	Data Management	Data Recovery			No Reuse	2
Back Office Support	Support the archiving and storage of large volumes of data	Back Office Services	Data Management	Data Warehouse			No Reuse	5
Back Office Services	Support the population of a data source with external data	Back Office Services	Data Management	Loading and Archiving			No Reuse	6
Back Office Services	Support the maintenance and administration of data that describes data	Back Office Services	Data Management	Meta Data Management			No Reuse	1
Back Office Services	Support the organization of data from separate data sources into a single source using middleware or application integration as well as the modification of system data models to capture new information within a single system	Back Office Services	Development and Integration	Data Integration			No Reuse	20
Back Office Services	Support the validation of application or system capabilities and requirements	Back Office Services	Development and Integration	Instrumentation and Testing			No Reuse	5
Back Office Services	Support the creation of both graphical and process application or system software	Back Office Services	Development and Integration	Software Development			No Reuse	6
Business Management Services (NEW)	Control the hardware and software environments, as well as documents of an organization	Business Management Services	Management of Processes	Configuration Management			No Reuse	1
Business Management Services (NEW)	Manage and control a particular effort of an organization	Business Management Services	Management of Processes	Program / Project Management			No Reuse	2
Business Management Services (NEW)	Gather, analyze and fulfill the needs and prerequisites of an organization's efforts	Business Management Services	Management of Processes	Requirements Management			No Reuse	1
Customer Services	Support the retention and delivery of a service or product to an organization's clients	Customer Services	Customer Relationship Management	Customer / Account Management			No Reuse	1
Digital Asset Services	Support the creation and maintenance of relationships between data entities, naming standards and categorization	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	1

Digital Asset Services	Allow access to data and information for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	3
Digital Asset Services	Support the use of documents and data in a multi-user environment for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	4
Digital Asset Services	Support the correlation between logical data and information sets	Digital Asset Services	Records Management	Record Linking / Association			No Reuse	1
Support Services	Support selection and retrieval of records ranked to optimize precision against recall	Support Services	Search	Query			No Reuse	1
Support Services	Support the management of permissions for logging onto a computer, application, service, or network; includes user management and role/privilege management	Support Services	Security Management	Access Control			No Reuse	1
Support Services	Support the identification and monitoring of activities within an application, system, or network	Support Services	Security Management	Audit Trail Capture and Analysis			No Reuse	3
Support Services	Support the purchase, upgrade and tracking of legal usage contracts for system software and applications	Support Services	Systems Management	License Management			No Reuse	1
Support Services	Support the monitoring, administration and usage of applications and enterprise systems from locations outside of the immediate system environment	Support Services	Systems Management	Remote Systems Control			No Reuse	2
Support Services	Support the propagation, installation and upgrade of written computer programs, applications and components	Support Services	Systems Management	Software Distribution			No Reuse	6
Support Services	Support the balance and allocation of memory, usage, disk space and performance on computers and their applications	Support Services	Systems Management	System Resource Monitoring			No Reuse	2

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

4. Technical Reference Model (TRM) Table:

To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Software Development	Component Framework	Business Logic	Platform Dependent	C-Sharp (C#)
Software Development	Component Framework	Business Logic	Platform Dependent	VB Script
Software Development	Component Framework	Business Logic	Platform Dependent	Visual Basic
Query	Component Framework	Data Interchange	Data Exchange	XQuery
Data Warehouse	Component Framework	Data Management	Reporting and Analysis	Online Analytical Processing (OLAP)
Information Retrieval	Component Framework	Presentation / Interface	Content Rendering	Dynamic HTML (DHTML)
Software Development	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages (ASP)
Software Development	Component Framework	Presentation / Interface	Static Display	Hyper Text Markup Language (HTML)
Data Exchange	Component Framework	Security	Certificates / Digital Signatures	Secure Sockets Layer (SSL)
Data Exchange	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Software Distribution	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Information Sharing	Service Access and Delivery	Service Requirements	Legislative / Compliance	Privacy: Liberty Alliance
Information Retrieval	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Program / Project Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Data Exchange	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Exchange	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Storage	Network-Attached Storage (NAS)
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Microprocessor
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Random Access Memory (RAM)
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disks (RAID)
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Printer
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Scanner
Program / Project Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Visual Studio.Net
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Change Management

Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Defect Tracking
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Deployment Management
Requirements Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Requirements Management and Traceability
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Functional Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Installation Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Load/Stress/Volume Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Usability Testing (508 Testing)
Data Exchange	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

Yes

a. If "yes," please describe.

Passport Modernization is moving towards the use of Open Source Information System (OSIS) as the means of providing agencies involved in border security with access to the Consolidated Consular Database (CCD) and as a means of transmitting bulk data to other border security agencies, such as DHS. Furthermore, DoS currently enjoys information exchange with the Social Security Administration (SSA) and the Government Printing Organization (GPO). With SSA, vital statistics and social security numbers are verified over a secure connection for passport applicants. With GPO, passport book inventory control data, as well as passport chip and operating system information, is securely exchanged to assist with inventory control of the new, Electronic Passport and with statistical analysis of the new passport's functionality. We will continue to evaluate existing and proposed Government wide components and applications to determine if they can be leveraged to support the objectives of this project.

6. Does this investment provide the public with access to a government automated information system?

Yes

a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

No

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)

III.A. Risk Management

Part III should be completed only for investments which will be in "Operation and Maintenance" (Steady State) in FY 2008, i.e., selected the "Operation and Maintenance" choice in response to Question 6 in Part I, Section A above.

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan? Yes

a. If "yes," what is the date of the plan? 8/5/2004

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?

a. If "yes," what is the planned completion date?

b. If "no," what is the strategy for managing the risks?